

The JS-44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for use of the Clerk of Court for the purpose of initiating the civil docket sheet.

## PLAINTIFFS

Oppenheimer &amp; Co. Inc.

## DEFENDANTS

DocuLynx, Inc. as successor-in-interest to Anacomp, Inc.

ATTORNEYS (FIRM NAME, ADDRESS, AND TELEPHONE NUMBER)  
 Satterlee Stephens, LLP  
 Attn: Michael H. Gibson  
 230 Park Avenue, Suite 1130, New York, NY 10169 (212) 818-9200

ATTORNEYS (IF KNOWN)  
 Putney, Twombly, Hall & Hirson LLP  
 Attn: Thomas A. Martin  
 521 Fifth Avenue, New York, NY 10175 (212) 682-9880

CAUSE OF ACTION (CITE THE U.S. CIVIL STATUTE UNDER WHICH YOU ARE FILING AND WRITE A BRIEF STATEMENT OF CAUSE)  
 (DO NOT CITE JURISDICTIONAL STATUTES UNLESS DIVERSITY)

Has this action, case, or proceeding, or one essentially the same been previously filed in SDNY at any time? No  Yes  Judge Previously Assigned

If yes, was this case Vol.  Invol.  Dismissed. No  Yes  If yes, give date \_\_\_\_\_ & Case No. \_\_\_\_\_

Is THIS AN INTERNATIONAL ARBITRATION CASE?

No  Yes 

(PLACE AN [x] IN ONE BOX ONLY)

## NATURE OF SUIT

## TORTS

## ACTIONS UNDER STATUTES

CONTRACT	PERSONAL INJURY	PERSONAL INJURY	FORFEITURE/PENALTY	BANKRUPTCY	OTHER STATUTES
[ ] 110 INSURANCE	[ ] 310 AIRPLANE	[ ] 367 HEALTHCARE/	[ ] 625 DRUG RELATED	[ ] 422 APPEAL	[ ] 375 FALSE CLAIMS
[ ] 120 MARINE	[ ] 315 AIRPLANE PRODUCT	PHARMACEUTICAL PERSONAL	SEIZURE OF PROPERTY	28 USC 158	[ ] 376 QUI TAM
[ ] 130 MILLER ACT	LIABILITY	INJURY/PRODUCT LIABILITY	21 USC 881	[ ] 423 WITHDRAWAL	[ ] 400 STATE
[ ] 140 NEGOTIABLE INSTRUMENT	[ ] 320 ASSAULT, LIBEL & SLANDER	[ ] 365 PERSONAL INJURY	[ ] 690 OTHER	28 USC 157	REAPPORTIONMENT
[ ] 150 RECOVERY OF OVERPAYMENT & ENFORCEMENT OF JUDGMENT	[ ] 330 FEDERAL EMPLOYERS' LIABILITY	PRODUCT LIABILITY	PROPERTY RIGHTS		[ ] 410 ANTITRUST
[ ] 151 MEDICARE ACT	[ ] 340 MARINE LIABILITY	INJURY PRODUCT LIABILITY	[ ] 820 COPYRIGHTS		[ ] 430 BANKS & BANKING
[ ] 152 RECOVERY OF DEFULTED STUDENT LOANS (EXCL VETERANS)	[ ] 345 MARINE PRODUCT LIABILITY	PERSONAL PROPERTY	[ ] 830 PATENT		[ ] 450 COMMERCE
[ ] 153 RECOVERY OF OVERPAYMENT OF VETERAN'S BENEFITS	[ ] 350 MOTOR VEHICLE PRODUCT LIABILITY	[ ] 370 OTHER FRAUD	[ ] 835 PATENT-ABBREVIATED NEW DRUG APPLICATION		[ ] 460 DEPORTATION
[ ] 160 STOCKHOLDERS SUITS	[ ] 355 MOTOR VEHICLE PRODUCT LIABILITY	[ ] 371 TRUTH IN LENDING	[ ] 840 TRADEMARK		[ ] 470 RACKETEER INFLUENCED & CORRUPT ORGANIZATION ACT (RICO)
[x] 190 OTHER CONTRACT					[ ] 480 CONSUMER CREDIT
[ ] 195 CONTRACT PRODUCT LIABILITY	ACTIONS UNDER STATUTES				[ ] 490 CABLE/SATELLITE TV
[ ] 196 FRANCHISE	CIVIL RIGHTS	[ ] 380 OTHER PERSONAL INJURY	LABOR		
REAL PROPERTY	[ ] 440 OTHER CIVIL RIGHTS (Non-Prisoner)	PROPERTY DAMAGE	[ ] 710 FAIR LABOR STANDARDS ACT	[ ] 861 HIA (1395ff)	[ ] 850 SECURITIES/ COMMODITIES/ EXCHANGE
[ ] 210 LAND CONDEMNATION	[ ] 441 VOTING	[ ] 385 PROPERTY DAMAGE	[ ] 720 LABOR/MGMT RELATIONS	[ ] 862 BLACK LUNG (923)	
[ ] 220 FORECLOSURE	[ ] 442 EMPLOYMENT	PRODUCT LIABILITY	[ ] 740 RAILWAY LABOR ACT	[ ] 863 DIWC/DIWV (405(g))	
[ ] 230 RENT LEASE & EJECTMENT	[ ] 443 HOUSING/ ACCOMMODATIONS	PRISONER PETITIONS	[ ] 751 FAMILY MEDICAL LEAVE ACT (FMLA)	[ ] 864 SSID TITLE XVI	[ ] 890 OTHER STATUTORY ACTIONS
[ ] 240 TORTS TO LAND	[ ] 445 AMERICANS WITH DISABILITIES - EMPLOYMENT	[ ] 463 ALIEN DETAINEE	[ ] 790 OTHER LABOR	[ ] 865 RSI (405(g))	[ ] 891 AGRICULTURAL ACTS
[ ] 245 TORT PRODUCT LIABILITY	[ ] 446 AMERICANS WITH DISABILITIES - OTHER	[ ] 510 MOTIONS TO VACATE SENTENCE	28 USC 2255		
[ ] 290 ALL OTHER REAL PROPERTY	[ ] 448 EDUCATION	[ ] 530 HABEAS CORPUS	[ ] 790 OTHER LABOR	[ ] 870 TAXES (U.S. Plaintiff or Defendant)	[ ] 893 ENVIRONMENTAL MATTERS
		[ ] 535 DEATH PENALTY	LITIGATION	[ ] 871 IRS-THIRD PARTY	[ ] 895 FREEDOM OF INFORMATION ACT
		[ ] 540 MANDAMUS & OTHER	[ ] 791 EMPL RET INC SECURITY ACT (ERISA)	26 USC 7609	[ ] 896 ARBITRATION
					[ ] 899 ADMINISTRATIVE PROCEDURE ACT/REVIEW OR APPEAL OF AGENCY DECISION
					[ ] 950 CONSTITUTIONALITY OF STATE STATUTES

Check if demanded in complaint:

CHECK IF THIS IS A CLASS ACTION  
UNDER F.R.C.P. 23

DO YOU CLAIM THIS CASE IS RELATED TO A CIVIL CASE NOW PENDING IN S.D.N.Y.  
AS DEFINED BY LOCAL RULE FOR DIVISION OF BUSINESS 13?  
IF SO, STATE:

DEMAND \$ 100,000 OTHER \_\_\_\_\_ JUDGE \_\_\_\_\_ DOCKET NUMBER \_\_\_\_\_

Check YES only if demanded in complaint  
JURY DEMAND:  YES  NO

NOTE: You must also submit at the time of filing the Statement of Relatedness form (Form IH-32).

(PLACE AN X IN ONE BOX ONLY)

**ORIGIN**

<input checked="" type="checkbox"/> 1 Original Proceeding	<input type="checkbox"/> 2 Removed from State Court	<input type="checkbox"/> 3 Remanded from Appellate Court	<input type="checkbox"/> 4 Reinstated or Reopened
<input type="checkbox"/> a. all parties represented		<input type="checkbox"/> 5 Transferred from (Specify District)	
<input type="checkbox"/> b. At least one party is pro se.		<input type="checkbox"/> 6 Multidistrict Litigation (Transferred)	
		<input type="checkbox"/> 7 Appeal to District Judge from Magistrate Judge	
		<input type="checkbox"/> 8 Multidistrict Litigation (Direct File)	

(PLACE AN X IN ONE BOX ONLY)

**BASIS OF JURISDICTION**

<input type="checkbox"/> 1 U.S. PLAINTIFF	<input type="checkbox"/> 2 U.S. DEFENDANT	<input type="checkbox"/> 3 FEDERAL QUESTION	<input checked="" type="checkbox"/> 4 DIVERSITY (U.S. NOT A PARTY)
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**IF DIVERSITY, INDICATE CITIZENSHIP BELOW.****CITIZENSHIP OF PRINCIPAL PARTIES (FOR DIVERSITY CASES ONLY)**

(Place an [X] in one box for Plaintiff and one box for Defendant)

<b>CITIZEN OF THIS STATE</b>	PTF <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 1 DEF	CITIZEN OR SUBJECT OF A FOREIGN COUNTRY	PTF <input type="checkbox"/> 3 <input checked="" type="checkbox"/> 3 DEF	INCORPORATED and PRINCIPAL PLACE OF BUSINESS IN ANOTHER STATE	PTF <input type="checkbox"/> 5 <input checked="" type="checkbox"/> 5 DEF
<b>CITIZEN OF ANOTHER STATE</b>	<input type="checkbox"/> 2 <input checked="" type="checkbox"/> 2	INCORPORATED or PRINCIPAL PLACE OF BUSINESS IN THIS STATE	<input checked="" type="checkbox"/> 4 <input type="checkbox"/> 4	FOREIGN NATION	<input type="checkbox"/> 6 <input type="checkbox"/> 6

**PLAINTIFF(S) ADDRESS(ES) AND COUNTY(IES)**

Oppenheimer &amp; Co. Inc.

85 Broad Street

New York, New York 10004

**DEFENDANT(S) ADDRESS(ES) AND COUNTY(IES)**

DocuLynx, Inc.

6916 97th Circle

Omaha, Nebraska 68122

**DEFENDANT(S) ADDRESS UNKNOWN**

REPRESENTATION IS HEREBY MADE THAT, AT THIS TIME, I HAVE BEEN UNABLE, WITH REASONABLE DILIGENCE, TO ASCERTAIN THE RESIDENCE ADDRESSES OF THE FOLLOWING DEFENDANTS:

**COURTHOUSE ASSIGNMENT**

I hereby certify that this case should be assigned to the courthouse indicated below pursuant to Local Rule for Division of Business 18, 20 or 21.

Check one: **THIS ACTION SHOULD BE ASSIGNED TO:**  WHITE PLAINS  MANHATTAN

DATE 1/9/2018

SIGNATURE OF ATTORNEY OF RECORD

RECEIPT #

ADMITTED TO PRACTICE IN THIS DISTRICT

 NO YES (DATE ADMITTED Mo. July Yr. 2005)  
Attorney Bar Code # MG-2952

Magistrate Judge is to be designated by the Clerk of the Court.

Magistrate Judge \_\_\_\_\_ is so Designated.

Ruby J. Krajick, Clerk of Court by \_\_\_\_\_ Deputy Clerk, DATED \_\_\_\_\_.

UNITED STATES DISTRICT COURT (NEW YORK SOUTHERN)